

**EXPRESS TERMS**  
**Title 13, Article 4.5**  
**Registration Services**

**§330.02. Information Required on a Registration Service Application for an Original License.**

- (a) ~~An~~ complete original application for a registration service occupational license shall be submitted to any departmental ~~field investigation or Occupational Licensing Inspections branch or~~ Office with the fee required by Section 11409 of the Vehicle Code and any surcharge assessed by the department pursuant to Section 11350.6(n) of the Welfare and Institutions Code.
- (b) The application shall be submitted on an Application for Original Occupational License for Registration Service (Part A), Form OL 601 (9/94 11/00), provided by the department. Another department-approved version of this form with a different revision date shall be acceptable if the content of the form is in substantial compliance with the requirements of this section. The application shall include the following information:
- (1) The full business name under which the registration service will do business.
- (2) When a corporation, the true full name of the corporation.
- (3) Whether the business is a sole proprietorship, partnership or corporation.
- (A) When a corporation, the corporation shall have been authorized by the California Secretary of State to transact business in California.
- (4) The true full name and title of the individual owner or each partner (except limited partners) or each ~~controlling~~ stockholder with 10% or more interest in the business, each director or officer participating in the direction, control or management of the business. This information shall be completed on a Corporate Declaration, Form OL 107 (REV 6/01). If the stockholder disclosed as a corporation, each stockholder with 10% or more interest in the business must be disclosed.
- (5) The address and business telephone number for the principal place of business.
- (A) The address shall be a street address and shall not be a post office box.
- (B) Licensees located outside California must designate a California location as the principal place of business.
- (6) The name, address and telephone number for the property owner of the principal place of business.
- (7) Whether the principal place of business:

- (A) Is a mobile office.
  - (B) Is located in a residence
  - (C) Meets all city and county zoning requirements.
  - (D) Maintains records electronically.
- (8) The address and business telephone number for each branch office.
- (A) The address shall be a street address and shall not be a post office box.
- (9) The name, address and telephone number for the property owner of each branch office.
- (10) Whether each branch office:
- (A) Is a mobile office.
  - (B) Is located in a residence.
  - (C) Meets all city and county zoning requirements.
  - (A) Maintains records electronically.
- (11) A list of all persons employed or otherwise engaged by a registration service to perform registration work which shall include:
- (A) The true full name and residence address.
  - (B) ~~The driver license number or identification card number.~~ The birth date, sex, hair color, eye color, height and weight.
  - (C) ~~The state that issued the driver license or identification card.~~ The driver license or identification card number and the issuing state.
  - (D) ~~The residence address.~~ The date employed.
  - (E) ~~The birthdate, sex, hair color, eye color, height and weight.~~ The owner shall designate those employees authorized to sign a transaction form in lieu of the owner or management.
  - (F) ~~The date employed.~~ A statement signed under penalty of perjury under the laws of the State of California that the list contains all persons employed and that the owner accepts full responsibility for the actions of all employees listed.
- (12) A statement signed and dated by the individual owner, all partners or a corporate officer, which certifies under penalty of perjury under the laws of the State of California that all the statements made on the application and all attachments to the application are true and that the applicant agrees to notify the department in writing, pursuant to Article 4.5 in Title 13 of the California Code of Regulations, of any change in location, ownership or legal structure of the business.

Note: Authority cited: Section 1651, Vehicle Code; and Section 11350.6, Welfare and Institutions Code. Reference: Sections 11400 and 11401, Vehicle Code and Section 11350.6, Welfare and Institutions Code.

### **§330.06. Fingerprints.**

(a) ~~A completed fingerprint card~~ Fingerprints shall be submitted by each person listed in Section 330.02(b)(4) to a Live Scan facility. ~~with the application for an original license required by Section 330.02.~~ A carbonized copy of the Request For Live Scan Service, Form DMV 8016 (NEW 11/99), shall be submitted with the application for an original license as required by Section 330.02.

(b) ~~The fingerprint card~~ Request for Live Scan Service application shall contain the following:

- (1) The typed or printed name of the person fingerprinted.
- (2) Any aliases used by the person fingerprinted.
- (3) ~~The birthdate~~ birth date of the person fingerprinted.
- (4) The birthplace of the person fingerprinted.
- (5) The sex, height, weight, eye color and hair color of the person fingerprinted.
- (6) ~~The fingerprint of each finger and thumb on each hand, unless missing or bandaged.~~ The driver license or identification card number of the person fingerprinted and state of issue.
- ~~(A) When a finger or hand is missing or bandaged, it shall be stated on the card.~~
- (7) ~~The signature of the person fingerprinted.~~ The social security number of the person fingerprinted.
- (8) The date the fingerprints are taken.
- (9) The signature of the person taking the fingerprints.
- (10) A statement that the ~~fingerprint card~~ Request for Live Scan Service, Form DMV 8016, is for the purpose of applying for a registration service license.
- (11) ~~The residence~~ home address and telephone number of the person fingerprinted.

(c) ~~A fingerprint card is~~ Fingerprints are not required when the applicant is currently an occupational licensee of the department or the applicant is a prior occupational licensee of the department whose license has not lapsed more than three years from the date of expiration.

NOTE: Authority cited: Section 1651, Vehicle Code. Reference: Section 11401, Vehicle Code.

### **§330.20. Employee Changes.**

(a) A registration service shall notify the department not later than ten days after ~~the change whenever there is an addition or deletion of a person employed to perform registration work~~ a deletion to the list of employees employed to perform registration work. When adding an employee the department shall be notified ten days prior to the submission of any registration work by the employee. The notification shall be submitted to an Occupational Licensing Inspections Office for approval by a licensing inspector.

(b) The notification shall be submitted on the Registration Service Application for Employee Changes, Form OL 630 (9/2002) ~~an Application for Changes to an Occupational License for Registration Service, Form OL 600 (8/91 9/01), and the Field Office Registration Service Employee Listing Form, OL 607A (10/2002). The Registration Service Application for Employee Changes, Form OL 630 (9/2002)~~ provided by the department, ~~and~~ shall include the following information:

(1) The full business firm name.

(2) The occupational license number.

(3) When a corporation, the true full name under which the firm does business.

(4) The business address and telephone number.

(5) The department offices to which the licensee has been assigned.

~~(4 6)~~ When adding an employee, the date added.

~~(5 7)~~ When deleting an employee, the date deleted.

~~(6 8)~~ The true full name and residence address for each employee added or deleted.

~~(7 9)~~ The driver license or identification card number and the issuing state for each employee added or deleted.

~~(8 10)~~ The ~~birthdate~~ birth date, sex, hair color, eye color, height and weight for each employee added or deleted.

~~(9 11)~~ A statement, signed under penalty of perjury by the individual owner, any partner or a corporate officer, certifying that the information entered on the application is true and correct. The owner shall designate if the employee added is authorized to sign a transaction form for the owner or management.

~~(10 12)~~ A statement, signed under penalty of perjury under the laws of the State of California that the owner accepts full responsibility for the actions of all employees added and that employees added are employees of the business and certifying the information given is true and correct.

(c) The Field Office Registration Service Employee Listing, Form OL 607A (10/2002), provided by the department, shall include the following:

(1) The full firm name.

- (2) The occupational license number.
- (3) The business address and telephone number.
- (4) A new and complete listing of all employees authorized to submit registration work including:
  - (A) The true full name.
  - (B) Date of birth.
  - (C) Driver license or identification card number.
  - (D) State of issuance of driver license or identification card.
  - (E) Whether or not the employee listed is authorized to sign for the owner or management of the business.
- (5) A statement, signed under penalty of perjury under the laws of the State of California, that the owner, partner, or officer of the corporation or limited liability corporation member accepts full responsibility for the actions of all employees listed as well as those employees given authority to sign for the owner or management and certifying the information is true and correct.

NOTE: Authority cited: Section 1651, Vehicle Code. Reference: Section 11401, Vehicle Code.

### **330.32. Submitting Fees and Documents to the Department.**

- (a) The submission to a registration service by a client of fees due to the department does not constitute receipt of the fees by the department.
- (b) Whenever a registration service receives any fees due to the department for a registration transaction, the registration service shall submit the fees with any documents available for the registration transaction to the department within seven departmental business days of the receipt of the fees.
  - (1) Notwithstanding subsection (b) above, No no registration service shall delay submitting the fees with any documents available for the registration transaction to the department when such a delay would cause the fees to be subject to penalty by the department, except when specifically authorized by the client to delay submission, and provided that the authorized delay does not cause the submission to exceed seven departmental business days from the receipt of the fees.
    - (A) The registration service shall maintain in their records documentation of a client's authorization to delay submission of fees or documents.
    - (2) Fees and documents submitted by the service through the mail shall be considered received by the department by midnight of the postmark date.

(3) Fees and documents submitted in person during the business hours of the department shall be considered received the same day.

(4) Fees and documents left at a departmental office after the close of business and found upon start of business the next business day shall be considered received by the department by midnight of the previous business day.

(c) ~~All transactions submitted to the department other than those submitted with the listing sheet described in Section 330.44 shall include the registration service's occupational license number on the face of the top document of each transaction shall be submitted on the transaction authorization agreement form as described in Title 13, Section 330.42, California Code of Regulations, unless exempted as described in subsection (j), (k), (l), or (m) of Section 330.32.~~

(d) ~~A client check made payable directly to the department shall be submitted by the registration service to the department solely for the transaction(s) for which the check was written. A registration service shall submit registration work only to an office the registration service has been assigned to by the department.~~

(e) Registration service employees shall present their state issued driver license and/or identification card when requested by a department employee. The department employee shall verify, using the list provided by the registration service identified in Section 330.02, that the individual has been identified by the licensee as an employee of the registration service. A department office shall not process accept transactions from nor deliver transactions to submitted by an individual not specified by the licensee as an employee of the registration service or an individual who refuses to provide identification to a department employee as described in this section.

(f) A client check made payable directly to the department shall be submitted by the registration service to the department solely for the transaction(s) for which the check was written.

(g) A transaction submitted to the department with missing or incomplete documents shall be returned to the registration service for completion.

(h) A registration service shall not submit an application for substitute or duplicate license plates unless the transaction is processed for a dealer and contains a vehicle report of sale; or is submitted for a member of the International Registration Plan (IRP) or Permanent Fleet Registration (PFR).

(i) All transactions must be submitted on a transaction authorization agreement as described in Section 330.42, be and completed and signed by the client and the owner or employee authorized to sign for the owner or management identified on the employee listing described in Section 330.02

(b)(11)(E) and/or Section 330.20 (b)(11). A registration service that is a participant participating in the Business Partner Automation Program and only submits registration transactions electronically to the department is excluded

from this requirement. ~~And~~ registration services submitting a transactions for a vehicles registered in the International Registration Plan (IRP), ~~or~~ Permanent Fleet Registration Program (PFR), or Permanent Trailer Identification Program, or a vehicle registered as special equipment is are excluded from this requirement.

(j) An information request submitted on a Registration Information Request for Lien Sale, form INF 1126 (REV 1/99), is excluded from the requirements in subdivision (i) of this section.

(k) A request for authorization to conduct a lien sale submitted on an Application for Lien Sale Authorization and Lienholder's Certification, form REG 656 (REV 1/99), is excluded from the requirements in subdivision (i) of this section.

(~~j-l~~) A registration service ~~dealer, or dismantler~~ who enters into a contractual agreement with a dealer or dismantler, vessel agent, or lessor retailer ~~registration service~~ using the Registration Transaction Authorization Agreement, ~~Dealer/Dismantler~~ Occupational Licensee/Vessel Agent, Form REG 600A (New 9/2001~~2~~), is excluded from the requirement identified in subsection (~~h~~ i) above, provided the agreement is maintained in the records of the principle place of business and the transactions are submitted on the approved listing sheet as described in Title 13, Section 330.44, California Code of Regulations.

(~~k~~ m) Registration transactions of an identical transaction type submitted for an individual registered owner and/or transactions submitted for a financial institution identified as the legal owner on the certificate of title of the vehicle may be submitted on the Transmittal of Registration Applications, Form FO 247 (REV 5/97), provided each transmittal is accompanied by a ~~separate and~~ completed Transaction Authorization Agreement, Form REG 600 (~~NEW 3-6-9/2002~~).

NOTE: Authority cited: Section 1651, Vehicle Code. Reference: Section 11406, Vehicle Code

### **Section 330.42 Information for Clients**

(a) In addition to the requirements of Vehicle Code Section 11406 ~~Vehicle Code~~, for every transaction a registration service shall ~~provide to each client the documentation which includes the date that any fees, due to the department, were received from the client~~ complete a Registration Transaction Authorization Agreement, Form REG 600 (~~New 3-6-9/2002~~), provided by the department.

~~(1) The registration service shall retain a copy of any agreement between the registration service and the client which describes the method of compensation for work performed based on other than individual transactions, and also provide a copy to the client.~~

~~(b) The documentation provided pursuant to subsection (a) shall state "THIS IS NOT AN OPERATING PERMIT" in capital letters. The authorization agreement shall include the following information:~~

- ~~(1) A statement that "THIS IS NOT AN OPERATING PERMIT" shall appear in capital letters.~~
  - ~~(2) A unique preprinted number assigned by the department.~~
  - ~~(3) The name and occupational license number of the registration service.~~
  - ~~(4) The identity of each vehicle by the vehicle identification number, year, make, type, and license plate number.~~
  - ~~(5) The type of registration transaction.~~
  - ~~(6) The true full name and signature of the client.~~
  - ~~(7) The residence address and daytime telephone number of the client.~~
  - ~~(8) The driver license or identification card number and state of issue of the client.~~
  - ~~(9) The signature of the registration service employee verifying the identity of the client.~~
  - ~~(10) The estimated department fees collected.~~
  - ~~(11) The service charge (fee), total DMV fees, and date collected by the registration service.~~
  - ~~(12) The method of payment by the client.~~
  - ~~(13) The printed name of the registration service employee who prepared the documents included in the transaction.~~
  - ~~(1314) The name, business address, business telephone number, and signature of the registration service owner or employee authorized to sign for the owner or management as described in Section 330.02(b)(11)(E) and 330.20(b)(9).~~
  - ~~(14 15) The true full name and signature of the authorized registration service employee.~~
  - ~~(15 16) A final statement of fees collected including: prior department fees collected, additional department fees collected, total department fees, department fees refunded, reason for refund (including dates for each), total service fee collected, and method of payment.~~
- ~~(c) A copy of the documentation provided to the client in subsection (a) shall be retained in the records of the registration service. The authorization agreement shall be used exclusively, in numerical sequence, by the registration service to whom it was issued. It shall not be transferred to another registration service.~~



(d) The agreement form shall be used by the registration service to record all transactions except those excluded by Title 13, Section 330.32, California Code of Regulations.

(e) The authorization agreement shall be prepared in triplicate for distribution as follows:

(1) The original shall be submitted with the registration documents to the assigned department office.

(2) The duplicate copy shall be provided to the client prior to submission of the original to the department.

(3) The triplicate copy shall remain with the firm's business records at the principal place of business.

(f) The registration service shall maintain a record in numerical order of each Registration Transaction Authorization Agreement, Form REG 600 (~~NEW 3-6-9/2002~~), issued, voided, or lost. For each agreement voided, the record shall indicate the date voided. For each agreement or group of agreements lost, the record shall indicate the date lost, and the series numbers of the agreement (s). The registration service shall notify the department in writing within 2 business days from the date of the discovery of the loss. A copy of the report of loss shall be retained with the record.

(g) Authorization agreements shall not be duplicated or reproduced for any purpose.

NOTE: Authority cited: Section 1651, Vehicle Code. Reference: Section 11406, Vehicle Code

#### **Section 330.44 Listing Sheet for Transmitting Registration Documents**

(a) Pursuant to Section 11406(b) of the Vehicle Code, the listing sheet approved by the department shall be the Transmittal of Registration Applications, Form FO 247 (~~9/91~~ 5/97) provided by the department.

(b) The listing sheet shall include the following information:

(1) The full business name of the principal place of business or the branch office of the dealer or dismantler for whom the transactions are submitted.

(2) The mailing address of the principal place of business or the branch office of the dealer or dismantler for whom the transactions are submitted.

(3) The occupational license number of the dealer or dismantler for whom the transactions are submitted.

(4) The occupational license number of the registration service.

(5) The printed name of the registration service representative submitting the transactions.

- (6) The telephone number of the dealer or dismantler for whom the transactions are submitted.
- (7) The telephone number of the registration service.
- (8) Whether the department will prepare a refund check or a credit receipt for any overpayment.
- (9) Whether, after processing by the department, the listing sheet and documents will be mailed to the address in subsection (b)(2) or will be picked up by the registration service.
- (10) A list of all transactions submitted with the listing sheet which shall be grouped by new and used vehicles and shall include for each transaction:
  - (A) The vehicle identification number or the California license plate number.
  - (B) The last name followed by the first initial of each buyer.
  - (C) The dealer report of sale number or the dismantler acquisition number.
  - (D) Whether the transaction is for a new or used vehicle.
  - (E) The date of the sale.
  - (F) The amount of departmental fees collected by the dealer or registration service.
  - (G) The receipt number and the amount of the receipt when a credit receipt was issued by the department for fees previously submitted for a vehicle.
  - (H) The amount of cash or check submitted.
  - (I) The total amount of credit, cash or check submitted.
  - (J) The amount of the refund when a refund is due.
- (11) The signature of the registration service representative submitting the transactions.

NOTE: Authority cited: Section 1651, Vehicle Code. Reference: Section 11406 and 11407, Vehicle Code.

### **330.46 Incomplete Transactions**

- (a) Prior to returning any incomplete transaction to a client, a registration service shall send a written request to the client for any documents, compensation or departmental fees necessary to complete the transaction.
  - (1) Each registration service shall retain in their business records a copy of the written request with the date the request was sent to the client.
  - (2) The registration service shall allow the client a minimum of 45 days ~~days~~ to respond from the date the request was sent.

(A) The registration service shall indicate on the request the date by which the client must respond.

(b) When the client fails to contact the registration service or to submit the documents, compensation or departmental fees requested pursuant to subsection (a) by the designated date, the registration service shall return the incomplete transaction, including all receipts for departmental fees paid, to the client.

(1) Each transaction shall be returned to the last known address of the client by registered mail no later than 60 days following the date the request was sent to the client.

(2) The registration service shall retain in their business records the date the transaction was mailed to the client.

(c) When the registered mail sent pursuant to subsection (b) is returned unclaimed to the registration service, the transaction shall be forwarded with the unclaimed envelope to the department's Registration Processing Unit, PO Box 942869, Sacramento, CA 94269-0001, within 10 days of the date the mail was returned unclaimed to the registration service.

(1) The incomplete transaction shall be forwarded with the registration service's name, address, and occupational license number, the reason(s) the transaction could not be completed by the registration service, and the date of any attempt to contact the client.

(2) The registration service shall retain in their business records the date the transaction was returned unclaimed to the registration service and the date the transaction was forwarded to the department.

Note: Authority cited: Section 1651, Vehicle Code. Reference: Section 11406.5, Vehicle Code.

### **§330.48. Maintenance and Inspection of Business Records.**

(a) A registration service shall maintain the business records required to be retained by Section 11406 of the Vehicle Code and Sections 330.32, 330.42 and 330.46 for four years from the date the transaction, any departmental fees, or any compensation was last received from the client, whichever is the latest date.

(b) A registration service shall maintain the business records required to be retained by Section 11406 of the Vehicle Code and Sections 330.32, 330.42 and 330.46 at the principal place of business, except when the service has branch locations, records peculiar to each branch shall be maintained at the appropriate branch location.

(c) Upon approval by the department, records retained pursuant to subsection (a) may be maintained at a business location other than as required in subsection (b), provided that:

- (1) The records are over 12 months old from the date the transaction, any departmental fees, or any compensation was last received from the client, whichever is the latest date; and
- (2) A written request is submitted to the department specifying the location where the business records shall be maintained and granting the department authorization to inspect the records at the specified location.
- (d) All business records maintained pursuant to this section shall be available for inspection by departmental employees at any business location specified by the department upon one business day's notice by the department, except as provided in Section 330.50 (c)(1).
- (e) The business records shall be maintained or retrievable by the unique identifying number on each department approved transaction authorization agreement form except as specified in Title 13, Section 330.32 (g) and provided the listing sheet as described in Title 13, Section 330.44, California Code of Regulations, is maintained.
- (f) The registration service shall ensure business records are stored and secured in such a manner that the confidentiality of client information is maintained.
- (g) Business records that are maintained by the approved listing sheet shall be kept in date order.

Note: Authority cited: Section 1651, Vehicle Code. Reference: Section 11406 and 11407, Vehicle Code.

**~~330.54 Refusal to Issue, Suspension, Revocation or Cancellation of a License.~~**

~~(a) — In addition to the conditions specified in Section 11405 and 11408 of the Vehicle Code, the department may suspend, revoke, or refuse to issue a license to act as a registration service for any of the following reasons:~~

~~(1) — The registration service wrote a check to the department that was thereafter dishonored when presented for payment.~~

~~(2) — The registration service violated any of the provisions contained in this Article.~~

~~(b) — A registration service license may be cancelled by the department when the license was issued through error.~~

~~NOTE: Authority cited: Section 1651, Vehicle Code. Reference: Section 11405 and 11408, Vehicle Code.~~